

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: McDonough et al.

Date Filed: June 26, 2003

Title: FLAT POLARIZATION CONVERSION SYSTEM WITH
PATTERNEDE RETARDER

Docket No.: OC0215US

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

19704 U.S. PRO
10/609307
06/26/03

CERTIFICATE OF MAILING BY EXPRESS MAIL

EXPRESS MAIL RECEIPT NO. EV259927974US

I hereby certify that the enclosed documents:

1. Utility Patent Application Transmittal form
2. Fee Transmittal with copy for Fee Processing
3. Patent Application including Title Sheet, 12 pages written description
5 pages Claims, 1 Page Abstract, 3 Sheets Formal Drawings
4. original Combined Declaration and Power of Attorney signed by Jay
McDonough, Markus Duelli, and Anthony D. McGettigan
5. Information Disclosure Statement with Form 1449A and copies of 4 references
6. Assignment Recordation Cover Sheet with original assignment from Jay
McDonough, original assignment from Markus Duelli, and original assignment from
Anthony D. McGettigan
7. Statement under 37 C.F.R. § 3.73(b) w/ copies of 3 assignments
8. Return receipt postcard

are being deposited with the United States Postal Service "Express Mail Post Office to
Addressee" service under 37 C.F.R. 1.10 on June 26, 2003, addressed to Mail Stop Patent
Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Scott W. Hewett

Please type a plus sign (+) inside this box → +

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | OC0215US |
| First Inventor | McDonough |
| Title | Flat polarization conversion system with patterned retarder |
| Express Mail Label No. | EV259927974US |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 18]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 3]

5. Oath or Declaration [Total Pages 3]

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee)

11. English Translation Document (if applicable)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | | |
|--|---|-----------------------------------|---|
| <input type="checkbox"/> Customer Number or Bar Code Label | 022849 (Insert Customer No. or Attach Bar Code Label here) | | <input type="checkbox"/> or <input type="checkbox"/> Correspondence address below |
| Name | | | |
| Address | | | |
| City | | | |
| Country | Telephone | Zip Code | Fax |
| Name (Print/Type) | Scott W. Hewett | Registration No. (Attorney/Agent) | 41,836 |
| Signature |  | | Date 6/26/03 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Jay McDonough, Markus Duelli, and Anthony D. McGettiganApplication No./Patent No.: unassigned Filed/Issue Date: herewithEntitled: FLAT POLARIZATION CONVERSION SYSTEM WITH PATTERNED RETARDEROptical Coating Laboratory, Inc., a corporation,

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

 Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/26/03

Date

Scott W. Hewett

Typed or printed name



Signature

Attorney for the Assignee

Title

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 964.00)

Complete if Known

| | |
|----------------------|------------|
| Application Number | unassigned |
| Filing Date | herewith |
| First Named Inventor | McDonough |
| Examiner Name | |
| Art Unit | |
| Attorney Docket No. | OC0215US |

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:Deposit Account Number
Deposit Account Name

50-0891

Scott W. Hewett

The Commissioner is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|--------------|--------------|---------------|---------------|------------------------|----------|
| 1001 740 | 2001 370 | | | Utility filing fee | 750.00 |
| 1002 330 | 2002 165 | | | Design filing fee | |
| 1003 510 | 2003 255 | | | Plant filing fee | |
| 1004 740 | 2004 370 | | | Reissue filing fee | |
| 1005 160 | 2005 80 | | | Provisional filing fee | |
| SUBTOTAL (1) | | (\$ 750.00) | | | |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims below | Fee from below | Fee Paid |
|--------------|--------------------|--------------------|--------------------|----------------|----------|
| 25 | -20** = 5 | | x 18.00 | = 90.00 | |
| 4 | - 3** = 1 | | x 84.00 | = 84.00 | |
| | | | | | |

| Large Entity | Small Entity | Fee Description |
|---------------|---------------|--|
| Fee Code (\$) | Fee Code (\$) | |
| 1202 18 | 2202 9 | Claims in excess of 20 |
| 1201 84 | 2201 42 | Independent claims in excess of 3 |
| 1203 280 | 2203 140 | Multiple dependent claim, if not paid |
| 1204 84 | 2204 42 | ** Reissue independent claims over original patent |
| 1205 18 | 2205 9 | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | (\$ 174.00) |

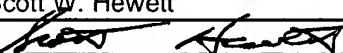
**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Description | Fee Paid |
|-----------------------------------|--------------|--|----------|
| 1051 130 | 2051 65 | Surcharge - late filing fee or oath | |
| 1052 50 | 2052 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 130 | 1053 130 | Non-English specification | |
| 1812 2,520 | 1812 2,520 | For filing a request for ex parte reexamination | |
| 1804 920* | 1804 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 1,840* | 1805 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 110 | 2251 55 | Extension for reply within first month | |
| 1252 400 | 2252 200 | Extension for reply within second month | |
| 1253 920 | 2253 460 | Extension for reply within third month | |
| 1254 1,440 | 2254 720 | Extension for reply within fourth month | |
| 1255 1,960 | 2255 980 | Extension for reply within fifth month | |
| 1401 320 | 2401 160 | Notice of Appeal | |
| 1402 320 | 2402 160 | Filing a brief in support of an appeal | |
| 1403 280 | 2403 140 | Request for oral hearing | |
| 1451 1,510 | 1451 1,510 | Petition to institute a public use proceeding | |
| 1452 110 | 2452 55 | Petition to revive - unavoidable | |
| 1453 1,280 | 2453 640 | Petition to revive - unintentional | |
| 1501 1,280 | 2501 640 | Utility issue fee (or reissue) | |
| 1502 460 | 2502 230 | Design issue fee | |
| 1503 620 | 2503 310 | Plant issue fee | |
| 1460 130 | 1460 130 | Petitions to the Commissioner | |
| 1807 50 | 1807 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 180 | 1806 180 | Submission of Information Disclosure Stmt | |
| 8021 40 | 8021 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 1809 740 | 2809 370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 740 | 2810 370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 740 | 2801 370 | Request for Continued Examination (RCE) | |
| 1802 900 | 1802 900 | Request for expedited examination of a design application | |
| Other fee (specify) | | | |
| *Reduced by Basic Filing Fee Paid | | SUBTOTAL (3) (\$ 40.00) | |

SUBMITTED BY

(Complete if applicable)

| | | | | |
|-------------------|---|-----------------------------------|--------|--------------------------|
| Name (Print/Type) | Scott W. Hewett | Registration No. (Attorney/Agent) | 41,836 | Telephone (707) 591-0789 |
| Signature |  | | Date | June 26, 2003 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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10/609307



06/26/03